

State of Vermont Agency of Human Services Department of Corrections	Title: Facility Case Management	Page 1 of 21
Chapter: Programs: Classification & Case Planning	#371.02	Supersedes: #371.02 5 -Day <i>Classification</i> , dated 12/30/02.
Superseded History: #371.02 dated 12/30/02, 3/01/02, and 4/10/97.		
Attachments, Forms & Companion Documents: <ol style="list-style-type: none"> 1. Projected Movement Date (PMD) Code Explanation 2. Case Staffing Review Form 3. Release Sensitive Notification Checklist 4. Case Staffing Checklist 		
Local Procedure(s) Required: Yes (See <i>Section 2, Intakes</i>) Applicability: All staff (including contractors and volunteers). Security Level: "B"- Anyone may have access to this document.		
<p style="text-align: center;">POSTED FOR FEEDBACK 3RD TIME October 13 – October 28, 2011 CLICK HERE TO PROVIDE FEEDBACK</p>		

PURPOSE

The purpose of this administrative directive is to establish standards for case management of incarcerated offenders. Effective case management will: 1) enhance public safety, 2) prepare the offender for successful re-entry into the community, 3) address risk/needs of the offender, 4) support offenders in taking responsibility for their criminal behavior and case plan development, 5) connect offenders to appropriate resources, 6) build upon offender strengths and assets, and 7) require CSS case co-management for incarcerated offenders.

POLICY

It is the policy of the Department of Corrections to prepare incarcerated offenders for successful transition back into the community while maintaining public safety. Offender Case Management in a facility includes assessment, classification, program planning, and re-entry planning that follow correctional best practice on security, supervision, treatment planning, continuity of services, and full utilization of community-based resources. The primary objectives are to provide protection for the public, reduce the risk of criminal behavior, support offenders to make amends, and enhance offender growth and development to become law-abiding citizens. This will be accomplished through the coordinated delivery of a continuum of services and supervision, which provides for offender, community, and victim involvement, and wherever possible, the offender remaining engaged with their home community.

AUTHORITY

28 V.S.A. § 2a; 28 V.S.A. § 721. American Correctional Association, Standards for Adult Correctional Facilities, 4th Edition, 2003, Standard 4-4442. American Correctional Association, Standards for Adult Probation and Parole Field Services, 3rd Edition, August, 1998, Standards 3-3125, 3-3131, 3-3132, and 3-3138.

REFERENCE

Agency of Human Services Four Key Practices. Department of Corrections Policy #371 *Offender Classification*, APA Rule #00-10/Policy #256 *Community Notification*. Department of Corrections Administrative Directives #76.05 *Positive Reinforcement*, #254.04 *Case Documentation – Electronic*, #255.01 *Sex Offender Registry & Internet Registry Determinations*, #323.01 *Inmate Release Money*, #342.01 *Pre-Sentence Investigation (PSI) Reports*, #344.01 *Collaborative Community Supervision*, #371.05 *Offender Case Planning*, #371.07 *Offender Risk Assessments*, #371.08 *Classification of Offenders Convicted of a Listed Offense*, #371.10 *Level C Designation for Offenders Convicted of Listed Offenses*, #371.11 *Level C Performance Expectations*, #371.14 *Furlough Residence Approval*, #371.15 *Conditional Re-entry*, #371.25 *Parole Reviews & Recommendations*, #418.01 *Offender Out of State Movement & The Interstate Compact*, #501.01 *Restorative Justice Programs*, and #502.01 *Victim Notification – Automated (VANS) and Non-automated*.

DEFINITIONS

Case Co-management: The process by which an assigned facility Caseworker and field office Probation & Parole Officer engage in collaborative decision-making about an offender's case.

Case Management: DOC activities and programs related to offender case planning, community supervision, and custody. It is the collaborative process of classifying, assessing risk and needs, case planning, applying correctional resources and support an offender from detention to discharge.

Case Planning: The process by which case co-managers, working collaboratively with the offender and associated stakeholders, make decisions about activities designed to reduce criminogenic needs, promote responsibility-taking, repair harm, and support offender reintegration into the community.

Case Staffing: Review of pertinent case plan information by Department of Corrections facility, probation and parole, and central office staff in order to make classification decisions about appropriate custody level, furlough status, programming and level "C" designation for offenders convicted of listed offenses, and release sensitive notification cases.

Case Staffing Review Form: A form used by correctional staff to document a request to have a classification case staffing with designated authorities to determine appropriate custody levels, furlough status, community notification status, programming and level "C" designations. Details on the form include offender name, legal status, probation and parole office site, convictions, sentence, date of request, a rationale for the request and a recommended case staffing result. This form also includes information relevant to details of offense, institutional behavior or field supervision, program assessment, case plan, victim impact, and case planning formulation of specific needs. (See *Attachment 2*.)

Community Re-entry: A process by which a sentenced offender is released into the community for furlough supervision while participating in programs that assist in the reintegration process.

Conditional Re-entry: A furlough by which a sentenced offender is released to the community under supervision at or beyond their minimum release date.

Correctional Services Specialist (CSS): A staff role both in facilities and field offices; also referred to as Caseworker (facility) or Probation/Parole Officer (PO in the field). Field and facility Correctional Services Specialists share responsibility for case co-management for offenders assigned to their caseload.

Criminogenic Need Areas: Offender need areas which are related to criminal conduct and which, when addressed in correctional treatment, reduce the overall or specific risk for recidivism (e.g., substance abuse).

Custody: Classification determination which ensures that offenders reside in appropriate correctional facilities and living units.

Furlough: A level of supervision as defined by title 28 VSA § 808, which “extends the limits of the place of confinement” for purposes of release if the offender agrees to abide by the conditions of supervision.

“Max-out” Case: An inmate who completes their maximum sentence while incarcerated and is released without any Department supervision.

Needs-reducing Program: A correctional program designed to address an offender’s criminogenic need areas with the goal of reducing the risk for re-offense.

Notice of Suspension (NOS): A form that is used by the Department to lodge an offender at a correctional facility pending a Graduated Sanction meeting or a Formal Due Process Hearing.

Offender Case Plan (OCP) – The Department document that covers offender case planning, case management, and reparative responsibilities. OCP is also the process focused on preparing an offender to re-enter the community, and/or be successful while under community supervision.

Parole: The release of an inmate to the community by the Parole Board before the end of the inmate’s sentence, subject to conditions imposed by the Board and subject to the supervision and control of the Commissioner of Corrections.

Probation: The legal status a court may impose on a defendant that suspends all or part of the sentence and places the person in the care and custody of the Commissioner of Corrections, upon such conditions and for such time as it may prescribe, in accordance with law, or until further order of the court.

Programs: The Department of Corrections provides a range of treatment programs to address crime-related need areas (criminogenic needs) and lower the likelihood of recidivism or further criminal conduct by the offender. Treatment programs are offered to offenders in correctional facilities and Probation and Parole offices. Some examples of correctional programs are as follows:

- *Cognitive Self Change (CSC)* – A Vermont facility and community-based DOC treatment program for offenders convicted of violent offenses.
- *Incarcerative Intensive Domestic Abuse Program (INDAP)* – A Vermont facility-based DOC treatment program for offenders convicted of domestic assault or a domestic-related offense.
- *Intensive Domestic Abuse Program (IDAP)* – A Vermont community-based DOC treatment program for offenders convicted of domestic assault or a domestic-related offense.
- *Intensive Substance Abuse program (ISAP)* – A Vermont community-based DOC treatment program for offenders convicted of alcohol/drug-related offenses.
- *Vermont Treatment Program for Sexual Abusers (VTPSA)* – A Vermont facility and community-based DOC treatment program for offenders convicted of sexually-related offenses.

Projected Movement Date (PMD): Date and reason which it is projected that an incarcerated inmate will be eligible to be moved to the next phase in the case management plan, or the reasons why the offender is still incarcerated. *Attachment 1* is the list of PMD codes, the description, and explanation of the codes.

Projected Release Date (PRD): The date when it is projected that an offender will be released from a facility.

Reintegration Furlough (RF): A furlough prior to the minimum sentence to prepare an incarcerated inmate for re-entry into the community.

Release Sensitive Notification (RSN) Case: A case in which the Department takes special care in release planning for and the release of an offender and notifies parties who may be concerned before the offender is released. A case is assigned RSN status by the central case staffing team based on field and facility recommendation. Criteria for RSN status include, but are not limited to, LSI scores, victim and community sentiment, media or political notoriety of the offense, and being a listed or Level C offender. This does not pertain to sentence-detained or detained offenders.

SSISA: An assessment tool - *Simple Screening Instrument for Substance Abuse*.

PROCEDURAL GUIDELINES

1. Philosophy

Effective correctional practices involve the allocation of correctional resources and services based on offender risk to re-offend, offender need areas, sentence length, legal status, and offense severity. The use of standardized risk assessments helps the Department determine which offenders need more services and supervision based on the offender's risk and need, along with the severity of their offense. The primary goal of the DOC is improving public safety by reducing the risk of offenders and supporting them to become pro-social and law abiding citizens. For incarcerated offenders, this also includes preparing the offender to re-enter into the community.

2. Intake and Admission

Correctional Services Specialist (CSS) staff will maintain an up-to-date caseload, as assigned by the Facility Superintendent. Facility Superintendents will develop a procedure or revise current procedures for new admissions to their work site that includes the following.

- a. Within five (5) days of a new admission into a correctional facility or transfer to another facility, excluding weekends and holidays, the following activities shall occur on all inmates, unless special circumstances demand more time. No inmates shall be moved from the initial lodging facility to another facility until all of the following is completed. The below shall be in accordance with Departmental policy, administrative directives, and procedures.
 - i. Detained Inmates
 - a) Vermont and FBI record check; include DMV and other applicable states;
 - b) Update Conviction Violation Survey on all inmates and update as needed when status changes and if and when the inmate receives major DRs (update as *revised*);
 - c) Deliver Facility Orientation, including PREA orientation,, unless it was done in the last six (6) months;
 - d) Determine if the inmate is a parent of a minor child and fill out the Child Surveys - make sure both Child Surveys are done (ICHILD and CHILD -

- 185 Intake Child Survey and CSS Child Survey for every minor child).
- 186 Contact Department for Children & Families (DCF) as required;
- 187 e) Inmate initial contact with CSS (see 2.b. below);
- 188 f) Enter data into the electronic database for the above;
- 189 g) Review inmate's file.
- 190 ii. Sentenced/Detained Inmates
- 191 a) Vermont and FBI record check; include DMV and other applicable states;
- 192 b) Update Conviction Violation Survey on all inmates and update as needed
- 193 when status changes; and if and when the inmate receives major DRs
- 194 (update as *revised*);
- 195 c) Update Projected Movement Date (PMD) as needed, ensuring that the date
- 196 matches the inmate's status;
- 197 d) Deliver Facility Orientation, including PREA orientation, unless it was
- 198 done in the last 6 months;
- 199 e) Collect DNA on all sentenced inmates with felonies or domestic assault
- 200 convictions;
- 201 f) Where applicable, complete mandated Departmental process such as ADA
- 202 (see administrative directive #371.01), Sex Offender Registry, SSISA;
- 203 g) Update inmate information (ID/Face Sheet, Digital Photo, etc.);
- 204 h) Inmate initial contact with CSS (see 2.b. below);
- 205 i) Enter data into the electronic database for the above, where applicable;
- 206 j) Review inmate's file.
- 207
- 208 iii. Sentenced Inmates
- 209 a) Vermont and FBI record check; include DMV and other applicable states.
- 210 b) Update Conviction Violation Survey on all inmates and update as needed
- 211 when status changes;
- 212 c) Determine/update Projective Movement Date(PMD) date as needed,
- 213 ensuring that the date matches the inmate's status;
- 214 d) Determine/update the Projected Release Date (PRD);
- 215 e) Collect DNA on all sentenced inmates with felonies or domestic assault
- 216 convictions;
- 217 f) Deliver Facility Orientation unless it was done in the last 6 months;
- 218 g) Determine Management Program Level (MPL);
- 219 h) Complete LSI-R on all sentenced inmates or update LSI-R and/or other
- 220 appropriate risk assessments as needed in accordance with administrative
- 221 directive #371.07 *Offender Risk Assessments*;
- 222 i) Any mandated Departmental process such as ADA, Sex Offender Registry,
- 223 SSISA, Child Survey;
- 224 j) Update Inmate information (ID/Face Sheet, Digital Photo, etc.);
- 225 k) Determine Reintegration Furlough eligibility;
- 226 l) Determine mandated programming and make appropriate referrals;
- 227 m) Determine if the inmate is work camp eligible, and if so, make the
- 228 appropriate referral;
- 229 n) Determine if the inmate is a candidate for Out-of-State (OOS) placement,
- 230 and if so, prepare the OOS packet as required;
- 231 o) Complete Part 1 *Classification and Facility Expectations* and assist the
- 232 inmate in completing the *Initial Harm Statement* of the Offender Case Plan
- 233 (OCP);
- 234 p) Begin residence approval process if sentenced to 6 months or less;
- 235 q) Inmate initial contact with CSS (see 2.b. below);

- r) Review of the inmate's case with the field CSS. Determine if a central level case staffing is required with the field CSS. This is to determine if a Release Sensitive Notification (RSN), MPL override, or sex offender release staffing is needed;
- s) Enter data into the electronic database for the above, where applicable;
- t) Review inmate's file.

b. Initial Contact with CSS (Instate Facilities)

The initial contact with the CSS and the inmate will occur within five (5) business days of admission or transfer to the facility. During the first contact between the CSS and the inmate, the following activities need to occur. This will need to occur anytime an inmate is admitted into a facility, transferred to another instate facility, or assigned a new CSS.

- i. Set a tone of collaboration and support.
- ii. Explain that the goal of corrections, treatment, programming and community supervision to assist the inmate in becoming a law-abiding citizen.
- iii. Explain the role of the CSS which includes, but is not limited to, facilitating behavioral change (which includes referral to DOC or other community-based treatment programs and providers as needed), responding to non-compliance, and contacting partners, employers, and other collateral contacts.
- iv. Deliver Facility Orientation to all inmates.
- v. Explain staff expectations of the behavior of the inmate.
- vi. Conduct all risk and needs assessments applicable for the inmate and review the results with the inmate.
- vii. Focus on the criminogenic need areas identified during the assessment process.
- viii. Collaborate with the inmate on an appropriate treatment referral if needed.
- ix. Explore residence options and re-entry planning with the inmate.
- x. Review and discuss the Offender Case Plan (OCP) with the inmate.
- xi. Explain to the inmate what is needed in the OCP and tell them about the Transition Planning class that is being offered in Education and other activities available to them.

c. Initial Contact with CSS (OOS Facilities)

The initial contact with the CSS will occur within five (5) business days of the case being assigned to the Out of State Caseworker. The first contact will be by letter to the inmate, introducing the assigned caseworkers as well as informing the inmate of how they and/or their family may get in touch with the assigned caseworker.

- xii. Set a tone of collaboration and support.
- xiii. Explain the goals of corrections, treatment, programming, and community supervision (if it applies in their case) to assist the inmate to become a law abiding citizen.
- xiv. Explain the role of the CSS which includes, but is not limited to, facilitating behavioral change (which includes referral to DOC or other community-based treatment programs and providers as needed), responding to non-compliance, and contacting partners, employers and other collateral contacts.
- xv. Let the inmate know the specific rules and regulations of the out of state facility at which they are housed. Orientation will be provided to all out of state inmates by the out of state facility staff (contractor) at the facility at which they are housed.
- xvi. Review all risk and needs assessments applicable for the offender and review the results with the offender.
- xvii. Collaborate with the offender on an appropriate treatment referral if needed.
- xviii. Explore residence options and re-entry planning with the offender.

- xix. Review the conditions of community supervision.
- xx. Review and discuss the Offender Case Plan (OCP) with the inmate.
- xxi. Explain to the inmate what is needed in the OCP and tell them about the Transition Planning class that is being offered in Education and other activities available to them.

3. Contact Standards

- a. Instate Inmates: After the initial meeting, the CSS will meet with the inmate on an as-needed basis or during any case management activity (staffing, parole review, treatment review, etc.), but will meet with the inmate at least every 14 business days. This meeting and any updates/changes within the last 14 business days will be documented in electronic case notes.
- b. Out of State Inmates: (Sentenced Offenders) After the initial contact with the inmate housed out of state, the assigned CSS (Caseworker) will meet with the inmate on scheduled out of state trips, as well as contact them via phone and/or interactive TV as needed. The Caseworker will be required to enter an electronic case note at least every forty-five (45) business days which would include an updated summary of activities, programming, employment, or any ongoing case co-management activities. For interstate compact cases, the standard will be every sixty (60) business days; the Caseworker will enter an electronic case note which would include an updated summary of activities, programming, employment, or any ongoing case co-management activities.

4. Case notes

The assigned CSS will document in electronic case notes all inmate meetings, case management events, reviews, staffings, team meetings, assessments, and anytime there is an event or change for the inmate. All case notes will be in accordance with administrative directive #254.04 *Case Documentation – Electronic*.

5. Case Co-management

- a. Two (2) CSSs will be assigned to all sentenced and sentenced/detained incarcerated inmates: one (Caseworker) from the facility where the inmate resides, and one from the field office (Probation Officer) in the sentencing district (or where the inmate will eventually be supervised).
- b. Both the Field and Facility Case Co-managers should be focusing on release planning during the incarcerated period for the inmate.
- c. Case Co-managers will routinely discuss facility-based re-entry services which may support successful community transition, residence options, community expectations, and utilization of community resources. They will conduct Case Management reviews as outlined in the time frame below. These reviews will be documented in electronic case notes.
 - i. Initial: The Case Co-managers will review Section 1, *Classification and Facility Expectations* of the OCP, sentencing information, and release planning. They will review the case and make programming determinations. They will also determine if a case staffing is required (e.g., MPL overrides/RSN/program determinations.)
 - ii. One (1) year until projected release date: The Case Co-managers, along with the inmate if possible, will review and discuss release planning and residence options, obstacles and barriers that the inmate faces around transition, community supports, programming, and other related or important case planning needs.

- iii. 180 days until projected release date: The Case Co-managers and the inmate will meet or use other means of communication (e.g., phone conference) to review the inmate's case and Section 2 *Transition and Re-entry Plan* of the OCP. The purpose of this meeting is to prepare for release and to bring together the field CSS and the inmate. There will be discussion and case planning around residence, obstacles and barriers to release, community supports, programming progress, community resources available to the inmate, field case planning, and field expectations. The case co-managers will also screen the residence for appropriateness.
- iv. 90 days until projected release date: The field CSS will do a residence check review and notify the proposed residence of acceptability. If the residence is denied, both CSSs will discuss other residence options with the inmate.
- v. 30 days until projected release date: The CSSs and the inmate will meet to review the inmate's case and preparation for release, review Section 2 *Transition and Re-entry Plan* and up date if needed, and discuss Section 3 *Community Case Plan and Field Expectation*. This meeting will be focused on field expectations, employment, transportation, and community referrals. The field CSS will conduct the physical residence check for appropriateness.
- vi. Offenders Held on Furlough Violations: The CSSs will review the case staffing decision and will begin release planning where appropriate. It is the field CSS' responsibility to follow through with the case staffing decision and release decision.
- d. In the event that the case co-managers disagree, the issue will be referred to the field Correctional Program Supervisor and the facility Living Unit Supervisor. If the dispute cannot be resolved at this level, the District Manager and Superintendent will be notified. If the District Manager and Superintendent cannot agree on a resolution, they will contact the Director of Community Corrections, Re-entry and Classification to resolve the issue. However, it is expected that any issues can be resolved at the local level.

6. Levels of Case Planning Services (OCP) for Inmates: Case planning services will be in accordance with administrative directive #371.05 *Offender Case Planning*.

- a. All incarcerated inmates serving a sentence of 90 days or more will be required to complete Section 1, *Classification and Facility Expectations* of the OCP.
- b. All incarcerated inmates serving a sentence of six (6) months or more will be required to complete Section 2, *Transition and Re-entry Plan* of the OCP.

7. Case Review and Summary

- a. The assigned facility CSS will conduct a case summary and review every 90 days on all sentenced inmates assigned to them, pre- and post-minimum.
- b. The case summary will involve a review and update of all necessary case information; the CSS will enter an electronic case note summarizing the review. The review will consist of the following:
 - i. Current convictions and sentence, as well as their minimum and maximum release dates;
 - ii. Review and update if necessary the Projected Release Date (PRD);
 - iii. Review and update if necessary the Projected Movement Date;
 - iv. Review of current RF eligibility;
 - v. Inmate's proposed residence for release;
 - vi. Review of obstacles or barriers that would impact release and possible solutions;
 - vii. Review of inmate's behavior, to include disciplinary reports and incident reports;

- viii. Review of progress of the inmate with their Offender Case Plan (OCP);
- ix. Review of progress in programming;
- x. Any other pertinent information;
- xi. CSS' professional observations on the progress the inmate is making in changing their behavior. The CSS will reflect on offender accountability for their offense and the harm they have caused, progress in addressing risk/need areas, offender's attitudes, offender's beliefs, positive activities they are involved in, and level of denial.

8. Projected Release Date (PRD): This is the date when it is projected that an offender will be released into the community. This date may change based on circumstances, such as work camp "good time", RF eligibility, or case staffing determination. The CSS will ensure the accuracy of the PRD throughout case reviews while the offender is incarcerated and document any changes in the 90-day case summary.

9. Projected Movement Date (PMD) and Codes

The PMD gives the date and reason it is projected that an incarcerated offender will be eligible to be moved to the next phase in the case management plan, or the reasons why the offender is still incarcerated. *Attachment 1* is the list of PMD codes, and the description and explanation of the codes. PMD codes may change based on changes during the case management process. The CSS will document any date/code changes in the database.

10. Programming

The CSS will prepare packets needed for treatment depending on crime convicted of, as well as length of minimum sentence and criminogenic risk/need areas. Programming classification will be in accordance with administrative directive #371.08 *Classification of Offenders Convicted of Listed Offenses*. The CSS must also fill out the ADA accommodations assessment for all program-required inmates. Once programming needs have been identified, a program packet will be sent to the respective program facility.

11. Work Camp Placement

- a. It is the responsibility of the Facility Superintendent to ensure that all eligible offenders in their facility have been referred to the Director of Community Corrections, Re-entry and Classification/designee for work camp placement.
- b. All offenders meeting work camp eligibility and requirements will be referred to the Director of Community Corrections, Re-entry, and Classification/designee for work camp placement.
- c. The facility CSS or CLUS will refer the case to the qualified health care professional to be medically cleared.

12. Out of State Placement

Any offender who has 60 days or longer to serve where they are not required or refuse to do correctional programming will be referred for Out-of-State placement. Out-of-State packets will be submitted to the Out-of-State Unit. The Out-of-State Unit will review the packet and make referrals to the Health Services Director for medical and mental health approval. It is the responsibility of the Facility Superintendent/designee to do regular facility headcount reviews to identify offenders for Out-of-State Placement.

13. Central Level Case Staffing

- a. Except for Furlough Violation staffings, all case staffings will involve input from both the facility and field case managers.
- b. All case staffing reports will be reviewed and approved by the designated supervisor. This supervisor will forward the case staffing report to the Director of Community Corrections, Re-entry, and Classification/designee.
- c. All Case Staffing Review Forms (*Attachment 2*) will be submitted the week prior to the scheduled central level staffing.

14. Types of Case Staffing

- a. Custody and Placement Decisions: The case staffing review process will be used whenever an offender is being recommended for custody classification overrides or any other custody decision which is extraordinary. In these cases the facility CSS or supervisor will contact the Director of Community Corrections, Re-entry and Classification/designee to schedule a review of the particular offender's custody designation. The requesting facility CSS will complete the case staffing review form and forward the form and accompanying information to the Director of Community Corrections, Re-entry and Classification/designee. Upon receipt of the case staffing review request, they will schedule a case staffing with all interested facility and field work sites and document the results of the case staffing.
- b. Program Participation Decisions: The case staffing review process will be used whenever case staff reviewers determine that there is justification to classify the offender differently than the classification guidelines require concerning program participation requirements. These case planning considerations may sometimes be referred to as "outside the box" in terms of case plan requirements or designation. Examples may include moving an offender up from Level A to Level B for offenders convicted of listed offenses, and overrides for the Work Camps. In these types of cases the requesting case manager will forward the *Case Staffing Review Request Form* to the Director of Community Corrections, Re-entry & Classification/designee who will schedule a case staffing review of the particular case with all interested parties. At the conclusion of the case staffing decision-making review process, the Director of Community Corrections, Re-entry and Classification/designee will document the results of the case staffing.
- c. Sex Offender Release and Parole Recommendation Decisions: This case staffing review process will be used whenever a sex offender is being recommended for release into the community or for a positive recommendation to parole. A case staffing form, treatment summary, PSI, and any other related documentation will be submitted to the Director of Community Corrections, Re-entry and Classification/designee who will convene a meeting of all designated Executive Directors and facility and field staff. A representative of the facility or probation and parole field office will present a case summary to the Executive Directors. At the conclusion of the case staffing meeting a decision will be made concerning the release of the offender.
- d. Furlough Violation Outcome Decisions: The case staffing review process will be utilized whenever an offender's furlough status has been interrupted due to a notice of suspension (NOS) and subsequent administrative due process hearing pursuant to directive # 410.02. The *Case Staffing Review Form* and the due process paperwork will be submitted by the reviewing Correctional Program Supervisor to the Director of Community Corrections, Re-entry and Classification/designee no later than five (5)

business days from the date of the offender's return. The Director will discuss the case with all parties and determine and publish a decision.

- e. Level "C" Designation Decisions: The case staffing review process will also be utilized for cases which may be classified as Level "C" Designation. These are cases that begin when an incarcerated offender has been convicted of one (1) or more statutorily listed offenses. Level "C" designation is reserved for those offenders whose listed offenses are egregiously harmful and who are assessed as high risk for future violent criminality. (See administrative directive #371.10.) In these cases the Facility CSS will forward a *Case Staffing Review Request Form*, along with all other forms which are outlined in directive #371.10, to the Director of Community Corrections, Re-entry and Classification/designee. He will then convene a meeting of all designated Executive Directors and facility and field staff. A representative of the facility or probation and parole field office will present a case summary to the Executive Directors. At the conclusion of the case staffing meeting a decision will be made concerning the Level "C" designation.
- f. Release Sensitive Notification Decisions (RSN): The case staffing review process will be utilized for identification of release sensitive notification cases. The purpose of these case staffing reviews will be to ensure quality assurance for all cases whose release to the community will be sensitive to the victims, community members, law enforcement personnel, and news media. In these cases the Facility CSS will forward a *Case Staffing Review Form* and all other forms as required, as well as document in electronic case notes. The Director of Community Corrections, Re-entry and Classification/designee will convene a case staffing meeting with Department Executive Directors and all necessary facility and field staff. A representative from the facility or probation and parole office will be designated to present the case summary to the Department Directors. If RSN approval is determined by consensus, the Deputy Commissioner will signify the decision by signing the *RSN Checklist Form (Attachment 3)*.
- g. Direct Community Placement (DCP): Offenders who are "maxing out" from a facility, and who have been incarcerated for more than the last 24 months, will have the opportunity to be released to Conditional Re-entry Supervision for the last six (6) months of their sentence, upon approval of a release plan. The offender's minimum release date and maximum release date must be more than six (6) months apart. If the offender is convicted of a sex offense and has not completed programming, they are not eligible for DCP. If either the field or the facility believes that this would put the offender, victim, or community at risk, this case will be staffed to determine eligibility for the DCP window.

15. Transition Planning: Transition planning will begin at day one (1) and will continue until release.

- a. OCP- Section 2 Transition and Re-entry Plan
 - i. Section 2 will be done on all offenders 180 days prior to the earliest release date, except for those listed in section a.ii. below.
 - a) For offenders who are RF-eligible, this will occur one (1) year prior to their minimum.
 - b) For offenders not eligible for RF, this will occur 180 days prior to release.
 - ii. Certain offenders will need more time to prepare for re-entry. For the group listed below, the *Transition and Re-entry Plan* will occur at least one (1) year prior to the earliest release date. Those are:

- a) Offenders who are convicted sex offenders;
 - b) Offenders who will be difficult to place due to mental health reasons (SFI);
 - c) Offenders designated RSN;
 - d) Offenders designated Level C.
- b. Residence Approval: The residence approval process will be in accordance with administrative directive #371.14 *Furlough Residence Approval* or as directed by probation or parole conditions.
- i. 180 days prior to the projected release date the facility CSS will notify the field CSS of the proposed address for release. The field CSS will need to initially screen the residence and document the collaborative decision in electronic case notes.
 - ii. 90 days prior to the projected release date the field CSS will be responsible to contact the residence and collaterals for appropriateness and notify the facility CSS of the outcome.
 - iii. 30 days prior to the projected release date the physical residence check will be completed by the field office.
- c. Reintegration Furlough (RF): All offenders will be reviewed by the case co-managers to determine RF eligibility in accordance with administrative directive #371.26 *Reintegration Furlough*.
- d. Conditional Re-entry (CR): All offenders being released on CR will be done in accordance with administrative directive #371.15 *Conditional Re-entry*.
- e. Parole: All offenders requiring a review by the Parole Board will be done in accordance with administrative directive #371.25 *Parole Reviews and Recommendations*. The CCS who has the case 30 days prior to when the parole packets are due is responsible for the parole summary.
- f. Sex Offender Registry: Sex Offender Registry requirements will be done in accordance with administrative directive #255.01 *Sex Offender Registry and Internet Registry Determinations*.
- g. Interstate Compact Cases: If the offender is projected to reside in another state after release, the assigned CSS will manage this process in accordance with administrative directive #418.01 *Offender Out of State Movement and the Interstate Compact*.
- h. Notifications: Victim and community notifications will be in accordance with departmental policy and State statute.

16. Case Management Time Lines Summary: Below is a timeline for important case management activities.

- 5 business days after sentencing
 - Intake, Assessment, Classification, and Admission
 - CSS Meeting
 - Initial Case Co-Management Review between field and facility CSS
 - Section 1 *Classification and Facility Expectations* of the OCP.
- 5 business days after arrival at facility
 - Initial CSS Meeting

- 1 year prior to Projected Release Date
 - Case Co-Management review between the assigned CSSs and the inmate
 - Section 2 *Transition and Re-entry Plan* for RSN, Level C, Sex Offenders, and SFI inmates
- 180 days prior to Projected Release Date
 - Section 2 *Transition and Re-entry Plan*
 - Case Co-Management meeting with assigned CSSs and the inmate
 - Initial residence screen
- 90 days prior to Projected Release Date
 - Initial residence screen for approval
- 30 days prior to Projected Release Date
 - Case Co-Management meeting with assigned CSSs and the inmate
 - Physical residence check

TRAINING

1. It is the responsibility of the Director of Community Corrections, Re-entry, and Classification/designee, in collaboration with the Director of Facilities Operations, the Director of Human Resource Development, Facility Superintendents, and District Managers, to ensure that all relevant staff are trained in this directive.
2. Local Managers will be responsible to train new staff after the initial training.

QUALITY ASSURANCE

1. All District Managers are responsible for compliance with policy, directive, and procedures regarding the supervision of offenders in the community.
2. All appropriate staff will use practices in compliance with policy, directive, and procedures regarding the supervision of offenders in the community.
3. In keeping with best practice, the Quality Assurance Division will monitor for compliance with this directive.
4. After the directive becomes effective, baseline data will be determined for the various measures to gauge performance and provide feedback to various levels of the Department. Measures from the directive will be incorporated into the monthly quality assurance central reporting process

ATTACHMENT 1- SAMPLE

PROJECTED MOVEMENT DATE CODE EXPLANATION

<u>CODE</u>	<u>DESCRIPTION</u>	<u>EXPLANATION (date to be used)</u>
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<i>PT</i>	<i>Program Termination</i>	6 months from termination date
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This code is to be used when an inmate is terminated from a Department treatment program. The date used is 6 months from the termination date. When the 6 months expires, the assigned CSS will offer the inmate an opportunity to reapply to the program. If the inmate accepts, the proper referrals will be made to the appropriate program; once the inmate is in the program, the PMD code will change to Program Completion (PC) and the date would follow the rules under the PC code. If the inmate refuses the program or has yet to complete any assignments necessary to gain re-entry, the code should change to Program Refusal (PR) and the date should follow the rules under the PR code.

<i>PR</i>	<i>Program Refusal</i>	6 months from refusal date
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This code is to be used when an inmate refuses to participate in a Department-mandated program such as CSC or VTPSA. The date used is 6 months from the date the inmate refuses. When the 6 months expires, the assigned CSS will again offer the inmate an opportunity to apply to the program. If the inmate accepts, the CSS should submit the proper referral to the appropriate program. Once the inmate is in the program, the PMD code will change to Program Completion (PC) and the date would follow the rules under the PC code. If the inmate again refuses to participate in the program, the code should remain PR and the date changed to 6 months from the more recent refusal. If the inmate's max date is less than 6 months from the refusal, the PR code should remain and the max date used.

<i>B1</i>	<i>Lack Housing</i>	date returned to facility, date residence issue known
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This code is to be used when an inmate is eligible for release (including RF) but they cannot secure a residence. The date used should be the date that the inmate was returned to the facility from the field for losing their residence, or the date after the minimum that it is known that the inmate can't find a residence.

<i>B2</i>	<i>Residential Treatment</i>	date of staffing
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This code is to be used when the case is staffed centrally and accepted into a residential treatment facility in the community which is necessary for the inmate to be eligible for release. The date used should be the date that the staffing occurred. Once a treatment bed is found and a release date is secured, the inmate should remain a B2 until they leave, as that is the reason that they are over their minimum.

<i>PE</i>	<i>Program Eligible</i>	date of program eligibility to include 180 day window
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This code is to be used when an inmate is prior to their minimum release date. The code determines when an inmate is eligible to enter a mandated DOC program such as CSC or VTPSA. In determining when an inmate is eligible to enter into a program, a PPC calculation worksheet must be completed in accordance with Directive #371.12. The 180 day RF needs to be considered in this calculation. Once the CSS has determined the number of PPCs, they will have to work backwards from the inmate's minimum release date to determine the correct program eligibility date.

672	MA	Max Release	date of maximum release
673	This code is to be used when it has been determined that an inmate will max out their sentence. The		
674	date used is the maximum release date. Split sentences should be reflected under this code.		
675	PC	Program Completion	date of program completion
676			to include 180 day window
677	This code is to be used when an inmate is in a Department-mandated program. The date used is the		
678	date that the inmate is going to complete the program, which should normally be the inmate's		
679	minimum release date including their 180 day RF. However, given suspensions, terminations, and		
680	unearned PPCs, this date can change by the month and should be updated whenever necessary.		
681	MP	Max to Probation Release	date of maximum release
682	This code is to be used when it has been determined that an inmate is serving a split sentences, and		
683	will be released to Probation Supervision. MP is to be used when Programming is not an option.		
684	The date used is the maximum release date.		
685			
686			
687	MA	Max Release	date of maximum release
688			
689			
690	This code is to be used when it has been determined that an inmate will max out their sentence. The		
691	date used is the maximum release date.		
692	CR	Conditional Release	date of minimum release/date of planned release
693	This code is to be used for inmates who are not mandated for in-house DOC programs, not eligible		
694	for RF, and are waiting for their minimum sentence to expire so they can be released. The date		
695	should be their minimum release date.		
696	P3	Program Suspension – 30 days	date of suspension
697	This code is to be used for inmates who have been suspended for 30 days from a mandated		
698	Department program. The date used is the date that the inmate was suspended. It should be noted		
699	that on the 31 st day the inmate should be placed back into the program and their code then changed		
700	to PC with a new program completion date.		
701	P6	Program Suspension – 60 days	date of suspension
702	This code is to be used for inmates who have been suspended for 60 days from a mandated		
703	Department program. The date used is the date that the inmate was suspended. It should be noted		
704	that on the 61 st day the inmate should be placed back into the program and their code then changed		
705	to PC with a new program completion date.		
706	P9	Program Suspension – 90 days	date of suspension
707	This code is to be used for inmates who have been suspended for 90 days from a mandated		
708	Department program. The date used is the date that the inmate was suspended. It should be noted		
709	that on the 91 st day the inmate should be placed back into the program and their code then changed		
710	to PC with a new program completion date.		
711	GS	Graduated Sanction	date sanction ends – release date

712 This code is to be used for inmates who have been returned to a facility on a Graduated Sanction.
713 The date used is the date the sanction ends, which should also be the release date.

714 *NC* *New Charge* date returned to facility or
715 charge added, to include citations

716 This code is to be used for inmates that have been returned to a facility from some type of furlough
717 (CR, PAF, etc.) status and have been charged with a new crime, or have been charged with a new
718 crime while incarcerated. It is reserved for inmates who have actually been charged with a new
719 crime, not for inmates who *may* be charged with a new crime. The date used should be the date
720 returned to the facility or the date that the charges were added.

721 *NS* *NOS/Staff* date returned to facility, staffing
722 date - use if not a GS or NC, or
723 waiting for staffing.

724 This code is to be used for inmates who have been returned to the facility from Conditional Re-
725 entry status and have been served Notice of Suspension paperwork. The date used should be the
726 date that they were returned to the facility. This code should be used even if the inmate waives their
727 right to a hearing. Once the staffing has occurred, the code should be changed to reflect the results
728 of the staffing. Normally the code will change to Centrally Authorized (CA), but other codes may
729 be appropriate as well.

730 *CA* *Centrally Authorized* staffing release date or staffing
731 review date

732 This code is to be used for inmates who have been staffed at the Central Level (monthly staffings at
733 central office or weekly staffings through the Director of Community Corrections, Re-entry, and
734 Classification/designee. The date used is the date that is set by the staffing for the inmate's release;
735 or if the decision of the staffing is to re-staff the case after a specific period of time, the date should
736 be listed as the new staffing review date. This code would generally be used for NOS cases that
737 have been staffed and a decision made to release an inmate at a time in the future. The NS code
738 would change to a CA code and the release date used.

739 *RF* *Re-integration Furlough* date (180 days or less) prior to
740 minimum release

741 This code is to be used for inmates who qualify to be released on Re-integration Furlough. The date
742 would always be prior to the minimum release date. The date used should be the date that the
743 inmate is scheduled for release. If no release date has been determined because it is too early in the
744 inmate's sentence, the date used should be exactly 180 days prior to the inmate's minimum release
745 date. In rare cases inmates may qualify for Early Release which is an additional 5 days award that
746 is calculated in the database. If an inmate qualifies for Early Release, the RF code should be used,
747 and the date used should be 180 days prior to the minimum release date plus any additional 5 days
748 awards. *Note: In no case should an inmate be released more than 390 days prior to their minimum.*

ATTACHMENT 2 - SAMPLE

CASE STAFFING FORM

Name: Inmate name

Type of Review: ☐ Sex Offender ☐ Central ☐ Furlough Violation

Date of Birth: DOB **Age:** age

Facility Site: facility **Field Site:** field office

Facility CSS: facility caseworker **Field CSS:** field PO

STAFFING INFORMATION

Date of Request: Enter date staffing report submitted to Classification division.

Requested by: Enter person/title/office/facility requesting staffing.

Staffing Date Scheduled For: Date of staffing if known

Reason for Case Staffing: MPL override, RSN, Level C, Release Planning, Programming Determination, etc...

Rationale for Request: Enter details of current behaviors or needs which precipitated the staffing review request.

Prepared by: Enter person/title who prepared staffing.

Review and Approved by: Enter person/title of CWS/CLUS/CPS who reviewed, approved, and forwarded to the Classification division.

CONVICTIONS & SENTENCE INFORMATION

Convictions: Enter current conviction.

Sentence: current sentence **Min:** current minimum date **Max:** current maximum date

Details of Offense: Summary of current underlying offenses

Prior Record: Enter relevant convictions that relate to current convictions or behaviors.

ASSESSMENT INFORMATION

LSI ☐ (Check boxes and enter score for all.)

VRAG ☐ **PCLR** ☐ **SARA** ☐

STATIC 99-R ☐ RRASOR ☐ VASOR ☐

Others: Enter any other assessments used (include scores.)

INSTITUTION BEHAVIOR AND FIELD SUPERVISION

Overview: Enter brief overview of inmate's behavior

Disciplinary Action: DR history

Grad Sanction Action: GS history

Furlough Violations: Enter all NOS/Furlough revocations and interrupts and behavior causing the violation and case staffing decision.

VOPs/VOPAR: List all VOPs/VOPAR, including behavior causing the violation and the court/parole board decision.

PROGRAM ASSESSMENT

Overview: Enter brief overview of inmate's program needs.

Facility: Enter past/present group participation/status (include months/years of participation) and include progress and participation of programming.

Field: Enter past/present group participation/status (include months/years of participation) and include progress and participation of programming.

SPECIAL NEEDS

Mental health: Enter past/present MH treatment (include any MH/Health diagnosis available) and explain how this may impact supervision/programming/release planning.

ADA/SFI: Note if there are any ADA/SFI issues, what they are, and the accommodations for them. Explain how this may impact supervision/programming/release planning.

Medical Issues: Medical issues that may impact supervision/programming/release planning.

CASE PLAN

Facility Case Plan/ORP: Provide narrative related to progress and compliance with inmate's current facility case plan.

Field Case Plan/ORP: Provide narrative related to the proposed plan, or current progress and compliance with inmate's case plan.

VICTIM

Victim Impact Input: .Provide impact of offense on victim(s), victim(s) input regarding release and conditions of release that would mitigate victim(s) safety concerns.

Victim Safety Planning: Recommendation for conditions of release and release planning that would mitigate victim safety concerns/risks.

Victim Service Specialist involvement: Is there a VSS involved? If so, who?

SEX OFFENDER SPECIFIC (sex offender's only)

Victim Profile (sex offender only): Indicate the target group preferred by the offender; e.g., pre-pubescent females, intra-familial boys ages 5-10, etc...)

Level of Acceptance/or lack of: Indicate inmate's level of acceptance/denial/minimization of current offense(s).

Other relevant information: Any other information that might be relevant, such as inappropriate fantasies, masturbation pattern, or other unnatural sexual attractions.

Summary of other past sex offender convictions: Brief summary of past sex offense convictions to include age of victim, sentence, and treatment and supervision.

FORMULATION

Inmate's Risk and Needs: What are the inmate's primary risk and needs?

Family Supports: List supportive family members and what level of support that they can provide to the inmate.

Other Supports: List other individuals who may provide support.

Transition Plan (if applicable): What is the offender's current transition plan?

Prognosis for Success: Professional judgment on the prognosis for success.

Formulation: In your professional opinion what would a successful plan be for this inmate?

Co-case Manager Input: Input from the other case co-manager.

RECOMMENDATION

Specific recommendation to include time frames, requirements, and resources/action needed for release:

ATTACHMENT 3 – SAMPLE**RELEASE SENSITIVE NOTIFICATION CHECKLIST****OFFENDER NAME:** _____**DOB:** _____**CSS CHECKLIST - Rationale used (*Check all that apply.*):**

____ Listed offender

____ High/medium-high risk/needs LSI

____ Victim notification on file

____ Community sentiment

____ Level C designation

____ Referred to Sex Offender Review Committee (*Directive 255.01*)**CASE STAFFING CSS (field & facility), CWS, Victim Services) – (*Check all that apply.*)**

____ Media issues/coverage

____ Political issues/coverage

____ Victim reaction

____ Community reaction

____ Victim/community safety

____ Other reasonable rationale

Central Staffing Date: _____**Case Note Dated:** _____**Case Note Entered by:** _____

Special Note - This form should be mailed electronically to the case staffing alias (doccasestaffing@ahs.state.vt.us) and should not be part of the offender's file.

Central Office Approval by: _____ **Date:** _____

Rev 9/2011

Cc: DOC Case Staffing Alias

ATTACHMENT 4 – SAMPLE

CASE STAFFING CHECK LIST

Offender: _____ **DOB:** _____

Min: _____ **Max:** _____ **Sentence:** _____

Offenses: _____

County of Release: _____

County of Residence: _____

CSS Assigned: _____

Please include (if available) the following forms for offenders needing to be case-staffed.

_____ **1. Case Staffing Form – Case Staffing Review.**

_____ **2. PSI**

_____ **3. Record Checks**

_____ **4. Affidavits and Mitts**

_____ **5. Victim Letters or input from the victim for the team to review in the staffing process**

_____ **6. Any other pertinent information or comments:**

Cc: DOC Case Staffing Alias

Rev 9/2011